

| | | | | | |
|--|--|---|--|---|--|
| FORM PCT-1390 (REV 11-98) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTORNEY'S DOCKET NUMBER YOR919990123US2 | |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) | |
| | | | | 09/936320 | |
| INTERNATIONAL APPLICATION NO. PCT/US00/06258 | | INTERNATIONAL FILING DATE 11 March, 2000 | | PRIORITY DATE CLAIMED 12 March, 1999 | |
| TITLE OF INVENTION High Speed Ge Channel Heterostructures for Field Effect Devices | | | | | |
| APPLICANT(S) FOR DO/EO/US Jack Oon Chu | | | | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | | | | |
| <p>1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</p> <p>4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> has been transmitted by the International Bureau.</p> <p style="margin-left: 20px;">c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> have been transmitted by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p style="margin-left: 20px;">d. <input checked="" type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> <p>Items 11. to 16. below concern document(s) or information included:</p> <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</p> <p>14. <input type="checkbox"/> A substitute specification.</p> <p>15. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>16. <input type="checkbox"/> Other items or information:</p> | | | | | |

| | | | | | |
|---|--|-------------------------------|--|--------------------------|--|
| U.S. APPLICATION NO. (If known, see 37 CFR 1.5) | | INTERNATIONAL APPLICATION NO. | | ATTORNEY'S DOCKET NUMBER | |
| 09/936320 | | PCT/US00/06258 | | YOR919990123US2 | |

17. ☒ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO. \$970.00

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO \$840.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$760.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)
but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$670.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)
and all claims satisfied provisions of PCT Article 33(1)-(4) \$96.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

| | | |
|--|-----------|--|
| | \$ 690.00 | |
|--|-----------|--|

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(e)).

| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
|--|--------------|--------------|------------|----------------------------------|----------|
| Total claims | 129 - 20 = | 109 | X \$18.00 | \$1962.00 | |
| Independent claims | 10 - 3 = | 7 | X \$80.00 | \$ 560.00 | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + \$260.00 | \$ | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$3212.00 | |
| Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28). | | | | \$ | |
| SUBTOTAL = | | | | \$ | |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$ | |
| TOTAL NATIONAL FEE = | | | | \$3212.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | | | | + | \$ 40.00 |
| TOTAL FEES ENCLOSED = | | | | \$3252.00 | |
| | | | | Amount to be: refunded | \$ |
| | | | | charged | \$ |

a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 09-0468 in the amount of \$ 3252.00 to cover the above fees.
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 09-0468. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

IBM CORPORATION
Intellectual Property Law Dept
P.O. Box 218
Yorktown Heights, NY 10598
(914)945-3147

SIGNATURE: Robert M. Trepp
NAME: Robert M. Trepp

REGISTRATION NUMBER 25,933

| | | | | | |
|---|--|---|--|---|--|
| FORM PTO-1390 (REV 11-98) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTORNEY'S DOCKET NUMBER YOR919990123US2 | |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) | |
| | | | | 09/936320 | |
| INTERNATIONAL APPLICATION NO. PCT/US00/06258 | | INTERNATIONAL FILING DATE 11 March, 2000 | | PRIORITY DATE CLAIMED 12 March, 1999 | |
| TITLE OF INVENTION High Speed Ge Channel Heterostructures for Field Effect Devices | | | | | |
| APPLICANT(S) FOR DO/EO/US Jack Oon Chu | | | | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | | | | |
| 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. | | | | | |
| 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. | | | | | |
| 3. <input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1). | | | | | |
| 4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date. | | | | | |
| 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) | | | | | |
| a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). | | | | | |
| b. <input type="checkbox"/> has been transmitted by the International Bureau. | | | | | |
| c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). | | | | | |
| 6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)). | | | | | |
| 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) | | | | | |
| a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau). | | | | | |
| b. <input type="checkbox"/> have been transmitted by the International Bureau. | | | | | |
| c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. | | | | | |
| d. <input checked="" type="checkbox"/> have not been made and will not be made. | | | | | |
| 8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). | | | | | |
| 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). | | | | | |
| 10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). | | | | | |
| Items 11. to 16. below concern document(s) or information included: | | | | | |
| 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. | | | | | |
| 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. | | | | | |
| 13. <input checked="" type="checkbox"/> A FIRST preliminary amendment. | | | | | |
| <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. | | | | | |
| 14. <input type="checkbox"/> A substitute specification. | | | | | |
| 15. <input type="checkbox"/> A change of power of attorney and/or address letter. | | | | | |
| 16. <input type="checkbox"/> Other items or information: | | | | | |

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of: Jack O. Chu
Serial No: unassigned
Filed: HEREWITH

Group No: unassigned
Examiner: unassigned

For: HIGH SPEED Ge CHANNEL HETEROSTRUCTURES FOR FIELD EFFECT DEVICES

Assistant Commissioner
of Patent and Trademarks
Washington, DC 20231

EXPRESS MAIL CERTIFICATION

Express Mail Label Number: EL 894235154US
Date of Deposit: September 12, 2001

I hereby certify that attached paper(s) or fee(s):

Transmittal Letter to US Designated/Elected Office (DO/EO/US)
Concerning a Filing Under 35 U.S.C. 371 (Original + one (1) copy)
Declaration & Power of Attorney (signed)
Assignment (signed)
Recordation Form Cover Sheet (Original + one (1) copy)
Return Acknowledgment Post Card
Preliminary Amendment

is being deposited with the United States Postal Service - Express Mail Post Office to Addressee
- Service under 37 CFR 1.10 on the date indicated above and addressed to the Commissioner of
Patents and Trademarks, Washington, DC 20231.

Margaret M. Brown

(name)

(signature)

Note: Each paper must have its own certificate and the *Express Mail* label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identified and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application; as well as, the type of paper being filed, e.g., complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document; such as, a new application, amendment, assignment, and transmittal letter for a fee; along with , the certificate of mailing by *Express Mail*. Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings, it is suggested that the label number be placed on the back of each formal drawing or the drawings be accompanied by a set of informal drawings on which the label number is placed.

DOCKET NO. YOR919990123US2

ExpressMail:EL894235154US
Date of Deposit: Sept 12, 2001